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| Form PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTORNEY'S DOCKET NUMBER P30916 | |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | CONFIRMATION NO. 1978 | |
| | | U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 10/599,576 | |
| INTERNATIONAL APPLICATION NO. PCT/JP2005/005527 | INTERNATIONAL FILING DATE 25 March 2005 | PRIORITY DATE CLAIMED 02 April 2004 | |
| TITLE OF INVENTION ALKALINE ETCHANT FOR CONTROLLING SURFACE ROUGHNESS OF SEMICONDUCTOR WAFER | | | |
| APPLICANT(S) FOR DO/EO/US Sakae KOYATA and Kazushige TAKAISHI | | | |
| <p>Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information.</p> <ol style="list-style-type: none"> 1. <input type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. 2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to promptly begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (23) indicated below. 4. <input type="checkbox"/> The US has been elected (PCT Article 31). 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)). <ol style="list-style-type: none"> a. <input checked="" type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154 (d) (4). 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. .371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). <p>Items 11 to 22 below concern other document(s) or information included:</p> <ol style="list-style-type: none"> 11. Assignee: <u>SUMCO CORPORATION of Tokyo, Japan</u> 12. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 13. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 14. <input type="checkbox"/> A FIRST preliminary amendment. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. 15. <input type="checkbox"/> An Application Data Sheet under 37 C.F.R. 1.76. 16. <input type="checkbox"/> A substitute specification. 17. <input type="checkbox"/> A power of attorney and/or change of address letter. 18. <input type="checkbox"/> Figure of Drawing to be published: 19. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825. 20. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154 (d) (4). 21. <input type="checkbox"/> A second copy of the English language translation of the international of the international application under 35 U.S.C. 154 (d) (4). 22. <input checked="" type="checkbox"/> Other items or information: Cover Letter | | | |

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| U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 10/599,576 | | INTERNATIONAL APPLICATION NO. PCT/JP2005/005527 | | ATTORNEY'S DOCKET NUMBER P30916 | |
| 23 <input type="checkbox"/> The following fees are submitted: Basic national fee.....300.00 | | | | CALCULATIONS | PTO USE ONLY |
| | | | | \$ 0.00 | |
| 24 <input type="checkbox"/> Examination Fee If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33 (1)-(4).....0.00 All other situations.....200.00 | | | | \$ 0.00 | |
| 25 <input type="checkbox"/> Search fee Search fee (37 CFR 1.445(a) (2)) has been paid on the international application to the USPTO as an International Searching Authority.....0.00 International Search Report prepared and provided to the Office.....400.00 All other situations.....500.00 | | | | \$ 0.00 | |
| TOTAL 23, 24 and 25 = | | | | \$ 0.00 | |
| <input type="checkbox"/> Additional Fee for Specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in electronic medium). The fee is \$250.00 for each additional 50 sheets of paper or fraction thereof. | | | | | |
| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE | | |
| -100= | /50 = | | x \$250.00 | \$ 0.00 | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)). | | | | \$ 0.00 | |
| Claims | Number Filed | Number Extra | Rate | | |
| Total Claims | 6 - 20 = | 0 | x \$50.00 | \$ 0.00 | |
| Independent Claims | 2 - 3 = | 0 | x \$200.00 | \$ 0.00 | |
| Multiple Dependent Claim(s) (if applicable) | | | + \$360.00 | \$ 0.00 | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ 0.00 | |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | \$ 0.00 | |
| SUBTOTAL = | | | | \$ 0.00 | |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492 (i)). | | | | \$130.00 | |
| Extension of Time fee in the amount of \$ | | | | \$ 0.00 | |
| TOTAL NATIONAL FEE = | | | | \$130.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property | | | | \$ 0.00 | |
| TOTAL FEES ENCLOSED = | | | | \$130.00 | |
| | | | | Amount to be refunded | \$ |
| | | | | Charged | \$ |
| <p>a. <input checked="" type="checkbox"/> A payment in the amount of \$ 130.00 to cover the above fees is included.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.</p> <p>c. <input checked="" type="checkbox"/> The U.S. Patent and Trademark Office is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-0089.</p> <p>d. <input checked="" type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p> <p>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p> | | | | | |
| SEND ALL CORRESPONDENCE TO CUSTOMER NO. 07055 AT THE PRESENT ADDRESS OF: | | | |  SIGNATURE | |
| Bruce H. Bernstein GREENBLUM & BERNSTEIN, P.L.C. 1950 Roland Clark Place Reston, VA 20191 (703) 716-1191 | | | | Bruce H. Bernstein NAME | |
| | | | | 29,027 REGISTRATION NUMBER | |

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Sakae KOYATA et al. **Mail Stop PCT**
Confirmation No. 1978
PCT Branch

Appl. No: : 10/599,576
(National Stage of PCT/JP2005/05527)

I. A. Filed : March 25, 2005

For : ALKALINE ETCHANT FOR CONTROLLING SURFACE ROUGHNESS
OF SEMICONDUCTOR WAFER

COVER LETTER

Mail Stop PCT
Commissioner for Patents
U.S. Patent and Trademark Office
Customer Service Window, Mail Stop PCT
Randolph Building
401 Dulany Street
Alexandria, VA 22314

Sir:

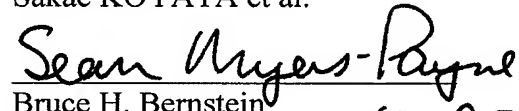
In order to comply with the requirements (copy enclosed) for the submission of an English translation of the International Application set forth in the Notification mailed May 31, 2007 which sets a two-month period of response until July 31, 2007, Applicants hereby submit:

- Transmittal Letter to the United States Designated/Elected Office Concerning a Filing Under 35 U.S.C. 371;
- an English Language Translation of the application as filed; and
- a payment in the amount of \$130.00 to cover the surcharge for late filing of the English translation.

The U.S. Patent and Trademark Office is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 19-0089.

Should the Examiner have any questions, he is invited to contact the undersigned at the below-listed number.

Respectfully submitted,
Sakae KOYATA et al.


Bruce H. Bernstein
Reg. No. 29,027 42,920

June 27, 2007
GREENBLUM & BERNSTEIN, P.L.C.
1950 Roland Clarke Place
Reston, VA 20191
(703) 716-1191